

DDS Content & Technical Specifications Form

RECIPIENT FIRM NAME:

| | |
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Recipient Contact Information – Real-Time / MQ Series

| | | | |
|--------------------------------|--|-----------|---|
| Firm Name | | | |
| Address | | | |
| City | | State/Zip | |
| Primary Network Contact | | | |
| Phone/ext. | | Fax # | |
| Email | | Hours | - |
| Alt. Network Contact | | | |
| Phone/ext. | | Fax # | |
| Email | | Hours | - |
| Prod Support # | | Hours | - |
| Email | | Fax # | |
| Data Ctr. # | | Hours | - |
| NOC/Data Ctr. # | | Hours | - |

Recipient Contact Information – NDM / Batch Push

| | | | |
|--------------------------------|--|-----------|---|
| Firm Name | | | |
| Address | | | |
| City | | State/Zip | |
| Primary Network Contact | | | |
| Phone/ext. | | Fax # | |
| Email | | Hours | - |
| Alt. Network Contact | | | |
| Phone/ext. | | Fax # | |
| Email | | Hours | - |
| Prod Support # | | Hours | - |
| Email | | Fax # | |
| Data Ctr. # | | Hours | - |
| NOC/Data Ctr. # | | Hours | - |

Recipient Contact Information – SFTP / Batch Downloads (pull)

| | | | |
|--------------------------------|--|-----------|---|
| Firm Name | | | |
| Address | | | |
| City | | State/Zip | - |
| Primary Network Contact | | | |
| Phone/ext. | | Fax # | |
| Email | | Hours | - |
| Alt. Network Contact | | | |
| Phone/ext. | | Fax # | |
| Email | | Hours | - |
| Prod Support # | | Hours | - |
| Email | | Fax # | |
| Data Ctr. # | | Hours | - |
| NOC/Data Ctr. # | | Hours | - |



OCC Contact Information

**The Options Clearing Corporation
One North Wacker, Suite #500
Chicago, Illinois 60606-2807**

| | | | |
|--------------------------|---------------------------|-------|----------------------|
| Primary Contact | Brandon Harroff | | |
| Phone | 817-562-3401 | Fax # | 817-562-3623 |
| Email | bharroff@theocc.com | Hours | 0700-1600 |
| Alternate Contact | Kenneth Baker | | Phone # 312-322-4511 |
| Email | kbaker@theocc.com | Hours | 0700-1600 |
| Prod Support # | Tech Support | | Phone # 312-322-6264 |
| Email | techsupport@theocc.com | Hours | 0000-2400 |
| After Hours # | Data Center | | Phone # 312-322-6264 |
| Email | datacenter@theocc.com | Hours | 0000-2400 |
| Member Services | Member Help Desk | | Phone # 800-621-6072 |
| Email | memberservices@theocc.com | Hours | 0600-2200 |

OCC Use Only

Initial Date:

Initial Transfer Mechanism MQ ___ NDM ___ SFTP ___

Second Transfer Mechanism MQ ___ NDM ___ SFTP ___

Member Services Contact:

| Update | Initials | Summary of Update |
|--------|----------|-------------------|
| | | |
| | | |
| | | |
| | | |

New Connectivity

This section should only be completed if the DDS Recipient is establishing new connectivity with OCC

Lease Line Installation Information (for New Connectivity)

| | | | |
|--|------|--------|-----|
| Contact Name | | | |
| Street Address or Location | | | |
| City & State | | | |
| Circuit Location | | | |
| NPA/Nxx Code | | | |
| Preferred Route Exchange (select one with X) | BGP4 | Static | RIP |
| Local Ethernet Address for OCC Use for Router | | | |

ISDN Dial Line Installation Information (for New Connectivity)

| | | | | |
|---|----------------|-------------|-----------|--------|
| Contact Name | | | | |
| Street Address or Location | | | | |
| City & State | | | | |
| Preferred City Location | | | | |
| Type of Equipment (select one with X) | Windows Server | Unix Server | Mainframe | Router |

Internet Connectivity Information (for New Connectivity)

| | | | | |
|---|----------------|-------------|-----------|--------|
| Contact Name | | | | |
| Street Address or Location | | | | |
| City & State | | | | |
| Preferred City Location | | | | |
| Type of Equipment (select one with X) | Windows Server | Unix Server | Mainframe | Router |

WebSphere MQ Connectivity Data – Real Time Messaging

This section should be completed if the DDS Recipient intends to receive Real Time messages.

WebSphere MQ Information Production Environment – at OCC

Queue Manager: OCCBV2P3
TCP/IP ADDRESS: 198.133.169.224
Port: 1414

(The following 2 items will be determined by OCC after connectivity has been established)

| | |
|------------------|--|
| Input Queue | |
| Output Queue | |
| NATed IP Address | |
| Audit File Name | |

WebSphere MQ Information Production Environment – OCC and Recipient

(The following 2 items will be determined by consensus between OCC and Recipient)

| | |
|------------------|--|
| Sender Channel | |
| Receiver Channel | |

WebSphere MQ Information Production Environment - Recipient

| | |
|----------------|--|
| Queue Manager | |
| TCP/IP Address | |
| Port | |
| Input Queue | |
| Output Queue | |



Batch Transmission Connectivity Data - PUSH

This section should be completed if the DDS Recipient plans on receiving batch data files via a direct push from OCC to their respective system

General System Info – Recipient

| | | | | |
|---|------|---------|-------|--------|
| Site Location | | | | |
| Time Zone | | | | |
| Operating System (select one with X) | Unix | Windows | Linux | MVS/M7 |
| OS Release | | | | |

DDS Recipient Details

| | | |
|---|--|---|
| Target Node Name/IP Address <i>(Node name & IP address of host at client site where data is to be pushed from OCC)</i> | Node Name: | |
| | IP Address: | |
| | NAT'd IP address (Filled in by OCC Network Svcs) | |
| Target Login ID and Password <i>(This is the login id and password required to connect to the target host. Once provided, it is encrypted in OCC database)</i> | Login ID: | |
| | Password: | |
| Target File Path, Name, Attributes, Job Trigger, Contents <i>(Location and name of the target file. There may be a different set of target files for different types of data. Any JCL attributes should be listed. Does this replace an existing file or create a new dataset? For example, DCB=(RECFM=VB,LRECL=4000,BLKSIZE=0,DSORG=PS)</i> <i>Does this trigger a job or task at the recipient site? Contents will be a general description of the data, like positions. There may be different set of target files for different types of data)</i> | 1 | Path: Name: Attributes: Job/Task: Contents: |
| | 2 | Path: Name: Attributes: Job/Task: Contents: |
| | 3 | Path: Name: Attributes: Job/Task: Contents: |
| | 4 | Path: Name: Attributes: Job/Task: Contents: |
| | 5 | Path: Name: Attributes: Job/Task: Contents: |
| | | |

OCC Technical Details

| | |
|---|------------------------|
| OCC's NAT'ted IP address for tier3 server | 198.133.169.191 |
| Port Number used on the source server | 1364 |
| OCC's source node names (Production & D/R) <i>(The actual hosts which can send the files from OCC to the customer.)</i> | pappc1 |
| Local userid on OCC's host systems <i>(This specifies the local user id initiating the send.)</i> | occprod |

Batch Transmission Connectivity Data - PULL

This section should only be completed if the DDS Recipient plans on receiving Batch data file transmissions via an SFTP download

General System Info – Recipient

| | | | |
|--|----------|---------|-------|
| Site Location | | | |
| Time Zone | | | |
| Operating System (select one with X) | Unix | Windows | Linux |
| OS Release | | | |
| Connectivity Type (select one with X) | Internet | Private | |

DDS Recipient Details

| | |
|--|-------------------|
| Platform on which SFTP would run <i>(Which platform is being used by the recipient?)</i> | |
| Node Name of the SFTP machine <i>(Host name of the machine where SFTP runs)</i> | |
| IP address of the SFTP machine <i>(Must be public IP address)</i> | |
| SSH Public Key Name <i>(SSH Public Key must be sent to OCC technical staff)</i> | |
| File Names/Contents <i>(These will be provided by OCC)</i> | Name: |
| | Name: Content: |
| | Name: Content: |
| | Name: Content: |

OCC Technical Details

| | |
|---|-------------------------|
| IP address of the OCC host | 198.133.169.198 |
| Port number used on the OCC's host | 10022 |
| Userid to connect to OCC's server | <username> |

<username> will be provided by OCC once built